



RESOLUTION No. 004

FOR THE APPOINTMENT OF THE BANKING COMMISSIONERS PURSUANT TO THE CATAWBA BANKING AND FINANCIAL SERVICES REGULATION

Enacted by the Zone Authority Commission
[February 26 th, 2024]

PREAMBLE

- (1) Whereas the Catawba Indian Nation (the "Catawba Nation") through its General Council approved the Green Earth Zone Civil Ordinance ("the GEZ Civil Ordinance") on February 19th, 2022.
- (2) Whereas under Title II Chapter 1 Section 2(d) of the GEZ Civil Ordinance "Consistent with the applicable laws of The Catawba Nation, the Zone Authority shall have the full authority and power to promulgate, administer, and enforce definitions and regulations for banking, bank chartering, registration of business entities, digital assets, insurance, securities, intrastate securities offering, money transmission, intellectual property, exchanges, commodities, money transmission, and other financial or commercial matters so long as such definitions and regulations are consistent with this Ordinance." "
- (3) Whereas pursuant to the authority described above, the Zone Authority promulgated the Banking and Financial Services Regulation ("Banking Regulation") on April 25, 2023.
- (4) WHEREAS, under Section 30.01 of Chapter 30 of the Banking Regulation, the Zone Authority of the Catawba Nation ("Zone Authority") has established the Banking Commission, tasked with the supervision and control over the activities specified within said Chapter and the related provisions of the Banking Regulation and shall exercise jurisdiction over such other activities as shall be conferred upon it by the Zone Authority;
- (5) WHEREAS, under Section 30.02 of Chapter 30 of the Banking Regulation, the Banking Commission shall be under the administrative control and supervision of the Director,





who is to be appointed by the Zone Authority, and who shall account for professional and business experience to execute the duties and responsibilities of the office;

- (6) WHEREAS, pursuant to Section 30.06 of Chapter 30, the term of office of members of the Banking Commission shall be three years. Without prejudice of this term and the Banking Regulation provisions, the Zone Authority may contract and retain Banking Commissioners for specific periods “as needed”, i.e. for the review of bank charter applications and other specific activities of the Banking Commission as may be required from time to time, as established by the Zone Authority.
- (7) WHEREAS, pursuant to Section 30.08 of Chapter 30, the Zone Authority shall establish the compensation for service as a member of the Banking Commission. Pursuant to the aforementioned, the Zone Authority may establish specific compensation mechanisms for the activities and review of charters, among others, to be carried out by the Banking Commission.
- (8) WHEREAS, the Zone Authority has solicited and reviewed recommendations for qualified candidates from The Corporate Nation and other appropriate sources;
- (9) WHEREAS, a confirmation hearing was conducted by the Zone Authority Commission on October 2023, and February 2024, during which the qualifications, credentials, and suitability of the nominees for their respective positions were rigorously examined and endorsed;
- (10) WHEREAS, the nominated Director and Members agreed, independent of the current resolution, to sign an agreement stipulating their compensation, as fixed by the Zone Authority, along with other related terms of service;

RESOLVES:

NOW, THEREFORE, BE IT RESOLVED, that **PHILIP VILES**, having been duly vetted and confirmed in the hearing, and possessing suitable professional and business experience pertinent to the discharge of the duties and fulfillment of the responsibilities of the Director’s office, is





hereby appointed as the Director of the Banking Commission for the term as stipulated in Chapter 30;

BE IT FURTHER RESOLVED, that **KATHERINE SIKORA NELSON, GERALD GLICKMAN, BRIAN HOULLION,** and **SCOTT CHARLES** having been similarly confirmed, and possessing the necessary qualifications and experience, are hereby appointed as the Members of the Banking Commission;

BE IT FURTHER RESOLVED, that the appointed Director and Members shall assume their respective responsibilities and duties as prescribed within Chapter 30, including adherence to and enforcement of all orders and directions of the Banking Commission, and abide by the terms and conditions set out in their respective signed agreements;

BE IT FURTHER RESOLVED, that this Resolution shall take effect upon its passage and approval, as provided by the laws of the Nation, and upon the signature of an agreement by each of the Commissioners with the Zone Authority Commission.

PASSED AND ADOPTED by the Zone Authority of the Catawba Nation, this ____th day of February, 2024.

A handwritten signature in black ink, appearing to read "S. Trimnal".

SAM TRIMNAL
CHAIRMAN
ZONE AUTHORITY COMMISSION
GREEN EARTH ZONE

